



2762 / TFW

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Joseph P. Bigus et al. : Date: March 20, 2006  
Group Art Unit: 2762 : IBM Corporation  
Serial No.: 09/100,595 : Intellectual Property Law  
Filed: June 19, 1998 : Dept. 917, Bldg. 006-1  
Examiner: W. Starks : 3605 Highway 52 North  
For: OPTIMIZING THE PERFORMANCE OF : Rochester, MN 55901  
COMPUTER TASKS USING INTELLIGENT  
AGENT WITH MULTIPLE PROGRAM  
MODULES HAVING VARIED DEGREES  
OF DOMAIN KNOWLEDGE

INFORMATION DISCLOSURE STATEMENT AND PETITION REQUESTING  
CONSIDERATION UNDER 37 C.F.R. §1.97(d)

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Applicants petition the Commissioner of Patent and Trademark that the information listed on the attached Form PTO/SB/08A be considered by the Office during the pendency of the above entitled application, pursuant to 37 C.F.R. §1.97. In accordance with 37 C.F.R. §1.97(h), the filing of this Information Disclosure Statement and Petition Requesting Consideration shall not constitute an admission that any information cited therein is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b). In the interest of full and complete disclosure to the Office, some or all of the art cited herein may not be considered by Applicant(s) or the Undersigned to be material under the new standard of materiality defined in 37 C.F.R. §1.56(b), enacted March 16, 1992, but may be material under the old standard of materiality defined in 37 C.F.R. §1.56(a), last amended on November 28, 1988, or may merely be technical background which may be of interest to the

03/24/2006 WASFAW1 00000026 090465 09100595

01 FC:1464 130.00 DA

Serial No. 09/100,595  
Docket No. RO996-052LB

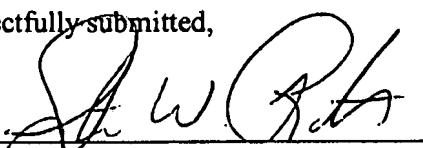
Examiner. In accordance with 37 C.F.R. §1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

This Information Disclosure Statement and Petition Requesting Consideration is being filed under 37 C.F.R. §1.97(d) after final office action or notice of allowance, but before payment of the issue fee. The certification specified in 37 C.F.R. §1.97(e) follows below.

The petition fee of \$130.00 set forth in 37 C.F.R. §1.17(i) is to be charged to our Deposit Account No. 09-0465.

Respectfully submitted,

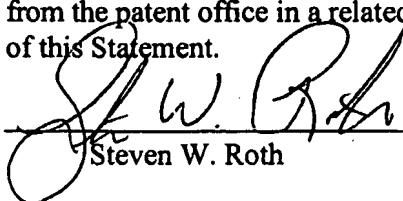
By

  
Steven W. Roth  
Attorney Reg. No. 34,712  
Telephone: 1-507-253-1600

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CERTIFICATION

I hereby certify that each item of information contained herein was cited in a communication from the patent office in a related patent application not more than three months prior to the filing of this Statement.

  
Steven W. Roth

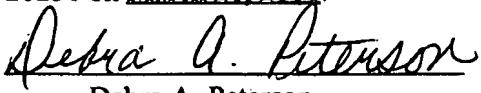
March 20, 2006

Date

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CERTIFICATE OF MAILING

I hereby certify that this paper is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on March 20, 2006.

  
Debra A. Peterson

March 20, 2006

Date

Serial No. 09/100,595  
Docket No. RO996-052LB

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

Sheet 1 of 2

MAR 28 2008

MAILED

Application Number.:	<u>09/100,595</u>
Filing Date:	<u>June 19, 1998</u>
First Named Inventor:	<u>Joseph P. Bigus</u>
Art Unit:	<u>2762</u>
Examiner Name:	<u>W. Starks</u>
Attorney Docket Number.:	<u>RO996-052LB</u>

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number - Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns or Lines Where Relevant Passages or Figs. Appear
		US -			
		US -			
		US -			
		US -			
		US -			
		US -			
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**FOREIGN PATENT DOCUMENTS**

Examiner Initials	Cite No. <sup>1</sup>	Foreign Patent Document Country <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns or Lines Where Relevant Passages or Figs. Appear	T <sup>6</sup>
/WS/		WO 93/21586	10-28-1993			

Examiner Signature	/Wilbert L. Starks, Jr./	Date Considered	09/28/2007
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**EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

<sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language translation is attached.



PTO/SB/08A

**INFORMATION DISCLOSURE  
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Sheet 2 of 2

Application Number.:	<u>09/100,595</u>
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Art Unit:	<u>2762</u>
Examiner Name:	<u>W. Starks</u>
Attorney Docket Number.:	<u>RO996-052LB</u>

#### **OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS**

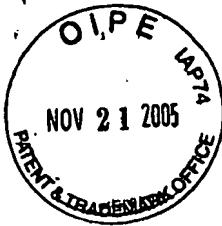
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PATENT  
2762  
*CS*

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In re application of: Joseph P. Bigus et al. : Date: November 18, 2005  
Group Art Unit: 2762 : IBM Corporation  
Examiner: W. Starks : Intellectual Property Law  
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MULTIPLE PROGRAM MODULES  
HAVING VARIED DEGREES OF  
DOMAIN KNOWLEDGE : Rochester, MN 55901

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NOV 30 2005

Technology Center 2100

INFORMATION DISCLOSURE STATEMENT AND PETITION REQUESTING  
CONSIDERATION UNDER 37 C.F.R. §1.97(d)

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Sir:

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Docket No. RO996-052LB  
Serial No. 09/100,595

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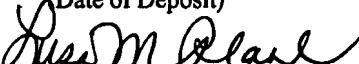
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11/22/2005 MGRR11 00000032 090465  
01 FC:1866 180.00 DA

PATENT

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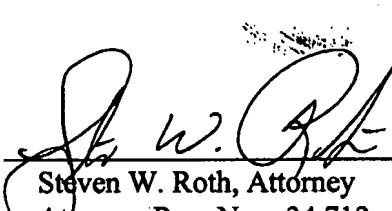
The petition fee of \$180.00 set forth in 37 C.F.R. §1.17(i) is to be charged to our Deposit Account No. 09-0465.

Date: November 18, 2005

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on
<u>November 18, 2005</u> (Date of Deposit)
 Lisa M. Plank

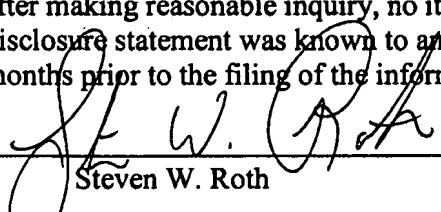
Respectfully submitted,

By:

  
Steven W. Roth, Attorney  
Attorney Reg. No.: 34,712  
IBM Corporation, Dept 917  
3605 Highway 52 North  
Rochester, MN 55901-7829  
Telephone: (507) 253-1600

CERTIFICATION

I hereby certify that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of the information disclosure statement.

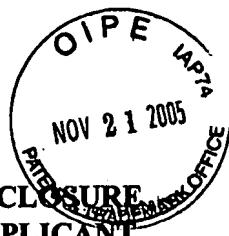
  
Steven W. Roth

November 18, 2005

Date

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

Sheet 1 of 2



Application Number.: 09/100,595  
 Filing Date: June 19, 1998  
 First Named Inventor: Bigus  
 Art Unit: 3621  
 Examiner Name: W. Starks  
 Attorney Docket Number.: RO996-054L

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number - Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns or Lines Where Relevant Passages or Figs. Appear
/WS/		US - 5,933,647	08-03-1999	Aronberg et al.	
/WS/		US - 2004/0059929	03-25-2004	Rodgers, et al.	
/WS/		US - 6,023,586	02-08-2000	Gaisford et al.	<b>RECEIVED</b>
		US -			
		US -			NOV 30 2005
		US -			Technology Center 2100
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		US -			
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**FOREIGN PATENT DOCUMENTS**

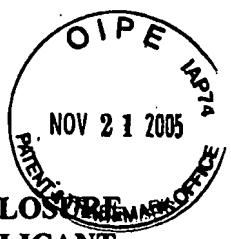
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Examiner Signature	/Wilbert L. Starks, Jr./	Date Considered	09/29/2007
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PTO/SB/08A

## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

Sheet 2 of 2

Application Number.:	<u>09/100,595</u>
Filing Date:	<u>June 19, 1998</u>
First Named Inventor:	<u>Bigus</u>
Art Unit:	<u>3621</u>
Examiner Name:	<u>W. Starks</u>
Attorney Docket Number.:	<u>RO996-054L</u>

## **OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS**

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**Technology Center 2100**

Examiner Signature	/Wilbert L. Starks, Jr./	Date Considered	09/29/2007
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PATENT

2762

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In re application of: Joseph P. Bigus et al. : Date: September 28, 2005  
Group Art Unit: 2762 : IBM Corporation  
Examiner: W. Starks : Intellectual Property Law  
Serial No.: 09/100,595 : Dept. 917, Bldg. 006-1  
Filed: June 19, 1998 : 3605 Highway 52 North  
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DOMAIN KNOWLEDGE : Rochester, MN 55901

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Docket No. RO996-052LB  
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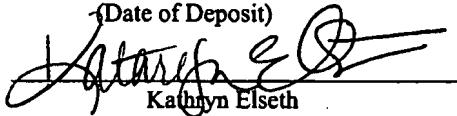
09100595  
10/03/2005 RHEBRAHT 09000009 090465  
100.00 DA  
01 FC:1806

PATENT

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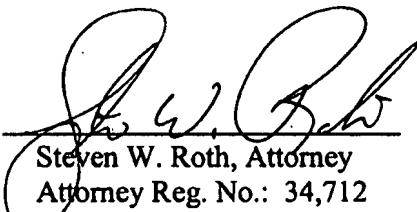
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 Kathryn Elseth

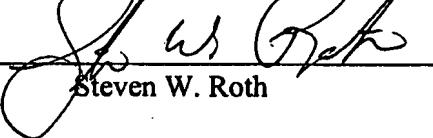
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Steven W. Roth

September 28, 2005

Date



PTO/SB/08A

## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

Sheet 1 of 1

**Application Number.:** 09/100,595  
**Filing Date:** June 1, 1998  
**First Named Inventor:** Bigus et al.  
**Art Unit:** 2762  
**Examiner Name:** W. Starks  
**Attorney Docket Number.:** RO996-052LB

## **U.S. PATENT DOCUMENTS**

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/WS/		US - 5,704,017	12/30/1997	Heckerman et al.	

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OCT 05 2005

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## FOREIGN PATENT DOCUMENTS

FOREIGN PATENT DOCUMENT						
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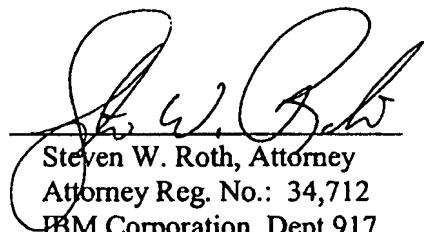
September 28, 2005

(Date of Deposit)

Kathryn Elseth

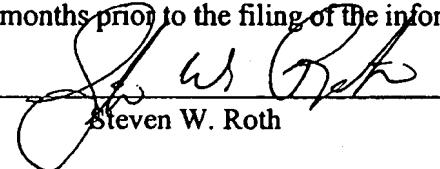
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By:

  
Steven W. Roth, Attorney  
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IBM Corporation, Dept 917  
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Rochester, MN 55901-7829  
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Steven W. Roth

September 28, 2005

Date

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Examiner Name: W. Starks  
Attorney Docket Number.: RO996-052LB

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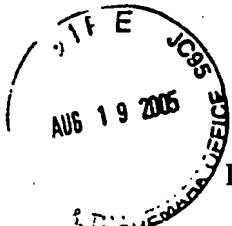
RELEVANT DOCUMENTS						
Examiner Initials	Cite No. <sup>1</sup>	<u>Foreign Patent Document</u> Country <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns or Lines Where Relevant Passages or Figs. Appear	T <sup>6</sup>

Examiner Signature	/Wilbert L. Starks, Jr./	Date Considered	09/29/2007
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<sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language translation is attached.



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PATENT AF JT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:	Joseph P. Bigus et al.	:	Date: August 17, 2005	RECEIVED
Group Art Unit:	2762	:	IBM Corporation	AUG 24 2005
Examiner:	W. Starks	:	Intellectual Property Law	
Serial No.:	09/100,595	:	Dept. 917, Bldg. 006-1	Technology Center 2100
Filed:	June 19, 1998	:	3605 Highway 52 North	
Title:	OPTIMIZING THE PERFORMANCE OF COMPUTER TASKS USING INTELLIGENT AGENT WITH MULTIPLE PROGRAM MODULES HAVING VARIED DEGREES OF DOMAIN KNOWLEDGE	:	Rochester, MN 55901	

INFORMATION DISCLOSURE STATEMENT AND PETITION REQUESTING  
CONSIDERATION UNDER 37 C.F.R. §1.97(d)

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Sir:

Applicants request that the information listed on the attached Form PTOSB08A be considered by the Office during the pendency of the above entitled application, pursuant to 37 C.F.R. §1.97. In accordance with 37 C.F.R. §1.97(h), the filing of this Information Disclosure Statement shall not constitute an admission that any information cited therein is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b). In the interest of full and complete disclosure to the Office, some or all of the art cited herein may not be considered by Applicant(s) or the Undersigned to be material under the new standard of materiality defined in 37 C.F.R. §1.56(b), enacted March 16, 1992, but may be material under the old standard of materiality defined in 37 C.F.R. §1.56(a), last amended on November 28, 1988, or may merely be technical background which may be of interest to the Examiner. In accordance with 37 C.F.R. §1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

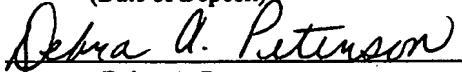
Docket No. RO996-052LB  
Serial No. 09/100,595

08/22/2005 FFANAIAR 00000007 090465 09100595  
1 01 FC:1464 130.00 DA

This Information Disclosure Statement is being filed under 37 C.F.R. §1.97(d) after final office action or notice of allowance, but before payment of the issue fee. The certification specified in 37 C.F.R. §1.97(e) follows below.

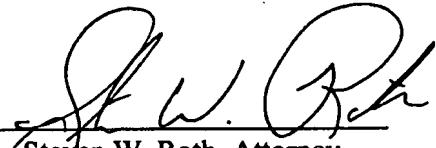
The petition fee of \$130.00 set forth in 37 C.F.R. §1.17(i) is to be charged to our Deposit Account No. 09-0465.

Date: August 17, 2005

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<u>August 17, 2005</u> (Date of Deposit)
 Debra A. Peterson

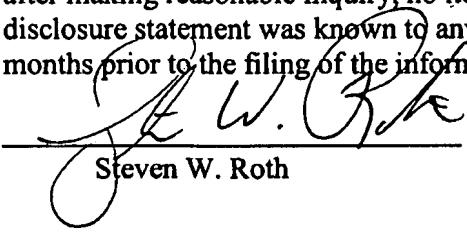
Respectfully submitted,

By:

  
Steven W. Roth, Attorney  
Attorney Reg. No.: 34,712  
IBM Corporation, Dept 917  
3605 Highway 52 North  
Rochester, MN 55901-7829  
Telephone: (507) 253-1600

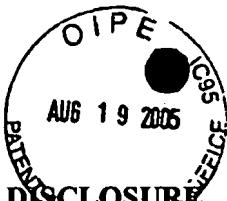
CERTIFICATION

I hereby certify that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of the information disclosure statement.

  
Steven W. Roth

August 17, 2005

Date


**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

Sheet 1 of 1

Application Number.: 09/100,595  
 Filing Date: June 1, 1998  
 First Named Inventor: Bigus et al.  
 Art Unit: 2762  
 Examiner Name: W. Starks  
 Attorney Docket Number.: RO996-052LB

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number - Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns or Lines Where Relevant Passages or Figs. Appear
/WS/		US - 6,785,834	08-31-2004	Chefalas et al.	
/WS/		US - 6,671,818	12-30-2003	Mikurak, Michael G.	RECEIVED
/WS/		US - 6,151,096	11-21-2000	Cheng et al.	AUG 24 2005
/WS/		US - 6,145,096	11-7-2000	Bereiter et al.	
/WS/		US - 6,694,314	02-17-2004	Sullivan et al.	Technology Center 2100
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		US -			
		US -			
		US -			
		US -			
		US -			

**FOREIGN PATENT DOCUMENTS**

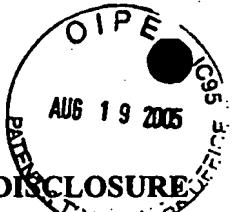
Examiner Initials	Cite No. <sup>1</sup>	Foreign Patent Document Country <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns or Lines Where Relevant Passages or Figs. Appear	T <sup>6</sup>

Examiner Signature	/Wilbert L. Starks, Jr./	Date Considered	09/29/2007
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PTO/SB/08A

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

Sheet 2 of 2

**Application Number.:**  
**Filing Date:**  
**First Named Inventor:**  
**Art Unit:**  
**Examiner Name:**  
**Attorney Docket Number.:**

09/100.595

June 1, 1998

Bigus et al.

2762

W. Starks

**RO996-052LB**

RECEIVED

June 1, 1998

AUG 24 2015

AUG 24 2015

## **OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS**

Examiner Signature	/Wilbert L. Starks, Jr./	Date Considered	09/29/2007
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State is present. It appears to place a custom marker into the string whenever

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Joseph P. Bigus et al. : Date: August 17, 2005  
Group Art Unit: 2762 : IBM Corporation  
Examiner: W. Starks : Intellectual Property Law  
Serial No.: 09/100,595 : Dept. 917, Bldg. 006-1  
Filed: June 19, 1998 : 3605 Highway 52 North  
Title: OPTIMIZING THE PERFORMANCE  
OF COMPUTER TASKS USING  
INTELLIGENT AGENT WITH  
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INFORMATION DISCLOSURE STATEMENT AND PETITION REQUESTING  
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Commissioner for Patents  
PO Box 1450  
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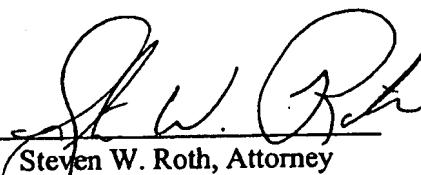
(Date of Deposit)

Debra A. Peterson

Debra A. Peterson

Respectfully submitted,

By:



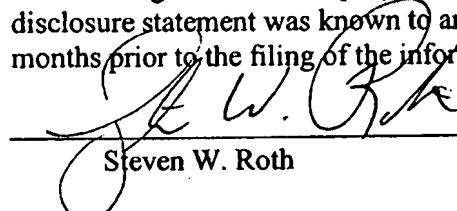
Steven W. Roth, Attorney  
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August 17, 2005

Date

  
Steven W. Roth

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**
Sheet 1 of 1

Application Number.: 09/100,595  
 Filing Date: June 1, 1998  
 First Named Inventor: Bigus et al.  
 Art Unit: 2762  
 Examiner Name: W. Starks  
 Attorney Docket Number.: RO996-052LB

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number - Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns or Lines Where Relevant Passages or Figs. Appear
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/WS/		US - 6,694,314	02-17-2004	Sullivan et al.	
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**FOREIGN PATENT DOCUMENTS**

Examiner Initials	Cite No. <sup>1</sup>	Foreign Patent Document Country <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns or Lines Where Relevant Passages or Figs. Appear	T <sup>6</sup>

Examiner Signature	/Wilbert L. Starks, Jr./	Date Considered	09/29/2007
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PTO/SB/08A

## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

Sheet 2 of 2

Application Number.:	<u>09/100,595</u>
Filing Date:	<u>June 1, 1998</u>
First Named Inventor:	<u>Bigus et al.</u>
Art Unit:	<u>2762</u>
Examiner Name:	<u>W. Starks</u>
Attorney Docket Number.:	<u>RO996-052LB</u>

#### **OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS**

Examiner Signature	/Wilbert L. Starks, Jr./	Date Considered	09/29/2007
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PATENT 262 2804  
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Joseph P. Bigus et al. : Date: July 19, 2004  
Group Art Unit: 2762 : IBM Corporation  
Examiner: W. Starks : Intellectual Property Law  
Serial No.: 09/100,595 : Dept. 917, Bldg. 006-1  
Filed: June 19, 1998 : 3605 Highway 52 North  
Title: OPTIMIZING THE PERFORMANCE  
OF COMPUTER TASKS USING  
INTELLIGENT AGENT WITH  
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HAVING VARIED DEGREES OF  
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JUL 26 2004

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INFORMATION DISCLOSURE STATEMENT AND PETITION REQUESTING  
CONSIDERATION UNDER 37 C.F.R. §1.97(d)

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

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Docket No. RO996-052LB  
Serial No. 09/100,595

11/22/2004 2762 09100595 00000010 090465 09100595  
AS 2762 1450 11/22/2004 130.00 DA



PATENT

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Date: July 19, 2004

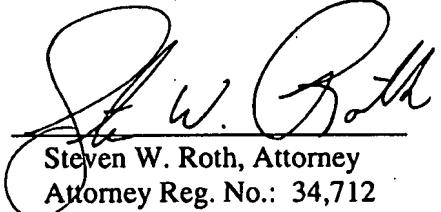
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Technology Center 2100

Respectfully submitted,

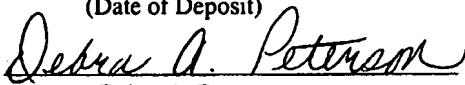
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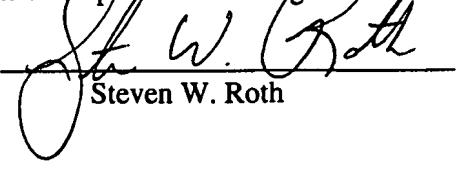
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Steven W. Roth

July 19, 2004

Date

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

Sheet 1 of 2



Application Number.: 09/100,595  
 Filing Date: June 19, 1998  
 First Named Inventor: Joseph P. Bigus  
 Art Unit: 2762  
 Examiner Name: W. Starks  
 Attorney Docket Number.: RO996-052LB

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**U.S. PATENT DOCUMENTS**

Technology Center 2100

Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number - Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns or Lines Where Relevant Passages or Figs. Appear
/WS/		US - 2003/0084010 A1	05-01-2003	Bigus et al.	
/WS/		US - 5,455,890	10-03-1995	Wang	
/WS/		US - 5,790,789	08-04-1998	Suarez	
/WS/		US - 6,021,437	02-01-2000	Chen et al.	
/WS/		US - 6,049,819	04-11-2000	Buckle et al.	
/WS/		US - 6,282,701 B1	08-28-2001	Wygodny et al.	
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		US -			
		US -			
		US -			
		US -			

**FOREIGN PATENT DOCUMENTS**

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Examiner Signature	/Wilbert L. Starks, Jr./	Date Considered	09/29/2007
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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

Sheet 2 of 2

Application Number.: 09/100,595  
Filing Date: June 19, 1998  
First Named Inventor: Joseph P. Bigus  
Art Unit: 2762 **REC**  
Examiner Name: W. Starks  
Attorney Docket Number.: RO996-052LB

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OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS Technology Center 2100

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2762 #23  
PATENT  
Appl. 2762 #23-04  
133

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Joseph P. Bigus et al. : Date: July 14, 2004  
Group Art Unit: 2762 : IBM Corporation  
Examiner: W. Starks : Intellectual Property Law  
Serial No.: 09/100,595 : Dept. 917, Bldg. 006-1  
Filed: June 19, 1998 : 3605 Highway 52 North  
Title: OPTIMIZING THE PERFORMANCE : Rochester, MN 55901  
OF COMPUTER TASKS USING  
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INFORMATION DISCLOSURE STATEMENT AND PETITION REQUESTING  
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Commissioner for Patents  
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JUL 23 2004

Technology Center 2100

Applicants request that the information listed on the attached Form PTOSB08A be considered by the Office during the pendency of the above entitled application, pursuant to 37 C.F.R. §1.97. In accordance with 37 C.F.R. §1.97(h), the filing of this Information Disclosure Statement shall not constitute an admission that any information cited therein is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b). In the interest of full and complete disclosure to the Office, some or all of the art cited herein may not be considered by Applicant(s) or the Undersigned to be material under the new standard of materiality defined in 37 C.F.R. §1.56(b), enacted March 16, 1992, but may be material under the old standard of materiality defined in 37 C.F.R. §1.56(a), last amended on November 28, 1988, or may merely be technical background which may be of interest to the Examiner. In accordance with 37 C.F.R. §1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

07/19/2004 KBETEMAI 00000060 090465 09100595

01 FC:1460 130.00 DA

Docket No. RO996-052LB

1

Serial No. 09/100,595

PATENT

This Information Disclosure Statement is being filed under 37 C.F.R. §1.97(d) after final office action or notice of allowance, but before payment of the issue fee. The certification specified in 37 C.F.R. §1.97(e) follows below.

The petition fee of \$130.00 set forth in 37 C.F.R. §1.17(i) is to be charged to our Deposit Account No. 09-0465.

Date: July 14, 2004

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on

July 14, 2004

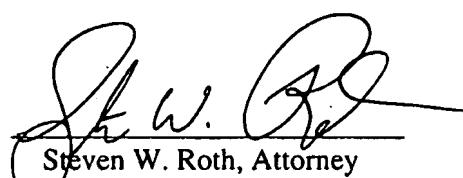
(Date of Deposit)

Debra A. Peterson

Debra A. Peterson

Respectfully submitted,

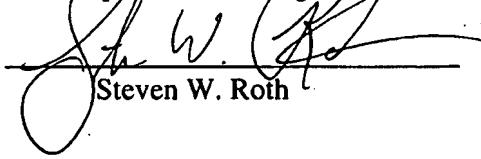
By:



Steven W. Roth, Attorney  
Attorney Reg. No.: 34,712  
IBM Corporation, Dept 917  
3605 Highway 52 North  
Rochester, MN 55901-7829  
Telephone: (507) 253-1600

CERTIFICATION

I hereby certify that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of the information disclosure statement.

  
Steven W. Roth

July 14, 2004

Date


**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

Sheet 1 of 1

Application Number.: 09/100,595  
 Filing Date: June 19, 1998  
 First Named Inventor: Jospeh P. Bigus  
 Art Unit: 2762  
 Examiner Name: W. Starks  
 Attorney Docket Number.: RO996-052LB

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number - Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns or Lines Where Relevant Passages or Figs. Appear
/WS/		US - 6,148,067	11-14-2000	Leipow	
		US -			
		US -			
		US -			
		US -			
		US -			JUL 23 2004
		US -			Technology Center 2100
		US -			
		US -			
		US -			
		US -			

**RECEIVED****FOREIGN PATENT DOCUMENTS**

Examiner Initials	Cite No. <sup>1</sup>	Foreign Patent Document Country <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> Code	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns or Lines Where Relevant Passages or Figs. Appear	T <sup>6</sup>

Examiner Signature	/Wilbert L. Starks, Jr./	Date Considered	09/29/2007
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

<sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language translation is attached.

PATENT  
2762  
2122

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Joseph P. Bigus et al. : Date: January 23, 2004  
Group Art Unit: 2762 : IBM Corporation  
Examiner: W. Starks : Intellectual Property Law  
Serial No.: 09/100,595 : Dept. 917, Bldg. 006-1  
Filed: June 19, 1998 : 3605 Highway 52 North  
Title: OPTIMIZING THE PERFORMANCE  
OF COMPUTER TASKS USING  
INTELLIGENT AGENT WITH  
MULTIPLE PROGRAM MODULES  
HAVING VARIED DEGREES OF  
DOMAIN KNOWLEDGE

INFORMATION DISCLOSURE STATEMENT AND PETITION REQUESTING  
CONSIDERATION UNDER 37 C.F.R. §1.97(d)

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Sir:

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FEB 02 2004

Technology Center 2100

Applicants request that the information listed on the attached Form PTOSB08A be considered by the Office during the pendency of the above entitled application, pursuant to 37 C.F.R. §1.97. In accordance with 37 C.F.R. §1.97(h), the filing of this Information Disclosure Statement shall not constitute an admission that any information cited therein is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b). In the interest of full and complete disclosure to the Office, some or all of the art cited herein may not be considered by Applicant(s) or the Undersigned to be material under the new standard of materiality defined in 37 C.F.R. §1.56(b), enacted March 16, 1992, but may be material under the old standard of materiality defined in 37 C.F.R. §1.56(a), last amended on November 28, 1988, or may merely be technical background which may be of interest to the Examiner. In accordance with 37 C.F.R. §1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

Docket No. RO996-052LB  
Serial No. 09/100,595

1

01/30/2004 CCHAU1 00000003 030455 09100555  
01 FC:1460 130.00 DA

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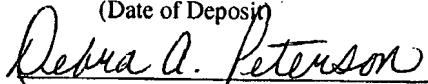
The petition fee of \$130.00 set forth in 37 C.F.R. §1.17(i) is to be charged to our Deposit Account No. 09-0465.

Date: January 23, 2004

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January 23, 2004

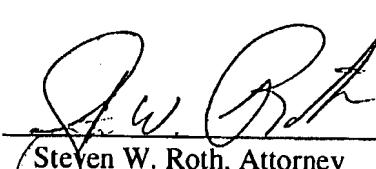
(Date of Deposit)



Debra A. Peterson

Respectfully submitted,

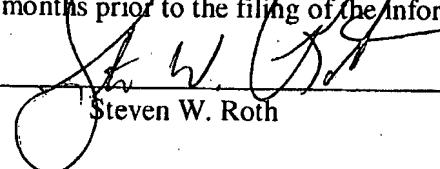
By:



Steven W. Roth, Attorney  
Attorney Reg. No.: 34,712  
IBM Corporation, Dept 917  
3605 Highway 52 North  
Rochester, MN 55901-7829  
Telephone: (507) 253-1600

#### CERTIFICATION

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Steven W. Roth

January 23, 2004

Date

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

Sheet 1 of 2

JAN 26 2004  
EXPIRED  
TM TRADEMARK OF

Application Number.:	<u>09/100,595</u>
Filing Date:	<u>June 19, 1998</u>
First Named Inventor:	<u>Joseph P. Bigus</u>
Art Unit:	<u>2762</u>
Examiner Name:	<u>W. Starks</u>
Attorney Docket Number.:	<u>RO996-052LB</u>

## **U.S. PATENT DOCUMENTS**

~~RECEIVED~~

FEB 02 2004

Technology Center 2100

## **FOREIGN PATENT DOCUMENTS**

RELEVANT DOCUMENTS						
Examiner Initials	Cite No. <sup>1</sup>	Foreign Patent Document Country <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns or Lines Where Relevant Passages or Figs. Appear	T <sup>6</sup>
/WS/		Japan - PUPA 04-191977	10-07-1992	Satoshi		
/WS/		Japan - PUPA 02-224068	06-09-1990	Shigeru		

Examiner Signature

Wilbert L. Starks, Jr./

---

**Date Considered**

09/29/2007

**EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with a brief description of the reference.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (USPTO, EPO, etc.).

<sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language translation is attached.

JAN 26 2006

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

Sheet 2 of 2

Application Number.:	<u>09/100,595</u>
Filing Date:	<u>June 19, 1998</u>
First Named Inventor:	<u>Joseph P. Bigus</u>
Art Unit:	<u>2762</u>
Examiner Name:	<u>W. Starks</u>
Attorney Docket Number.:	<u>RO996-052LB</u>

## **OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS**

**RECEIVED**

FEB 02 2004

Technology Center 2100

Examiner Signature	/Wilbert L. Starks, Jr./	Date Considered	09/29/2007
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<sup>1</sup> Applicant's unique citation designation number (optional)

<sup>2</sup> Applicant is to place a check mark here if English-language translation is attached.

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:	Joseph P. Bigus et al.	:	Date: January 23, 2004
Group Art Unit:	2762	:	IBM Corporation
Examiner:	W. Starks	:	Intellectual Property Law
Serial No.:	09/100,595	:	Dept. 917, Bldg. 006-1
Filed:	June 19, 1998	:	3605 Highway 52 North
Title:	OPTIMIZING THE PERFORMANCE OF COMPUTER TASKS USING INTELLIGENT AGENT WITH MULTIPLE PROGRAM MODULES HAVING VARIED DEGREES OF DOMAIN KNOWLEDGE	:	Rochester, MN 55901

INFORMATION DISCLOSURE STATEMENT AND PETITION REQUESTING  
CONSIDERATION UNDER 37 C.F.R. §1.97(d)

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Sir:

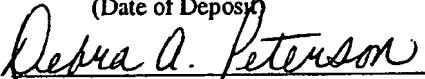
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PATENT

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Date: January 23, 2004

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<hr/> January 23, 2004 (Date of Deposit)
 Debra A. Peterson

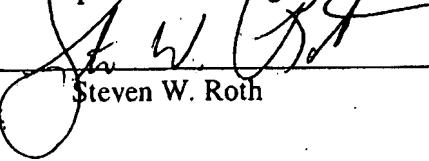
Respectfully submitted,

By:

  
Steven W. Roth, Attorney  
Attorney Reg. No.: 34,712  
IBM Corporation, Dept 917  
3605 Highway 52 North  
Rochester, MN 55901-7829  
Telephone: (507) 253-1600

CERTIFICATION

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Steven W. Roth

January 23, 2004

Date

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

Sheet 1 of 2

Application Number.: 09/100,595  
 Filing Date: June 19, 1998  
 First Named Inventor: Joseph P. Bigus  
 Art Unit: 2762  
 Examiner Name: W. Starks  
 Attorney Docket Number.: RO996-052LB

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number - Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns or Lines Where Relevant Passages or Figs. Appear
		US -			
		US -			
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Examiner Initials	Cite No. <sup>1</sup>	Foreign Patent Document Country <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns or Lines Where Relevant Passages or Figs. Appear	T <sup>6</sup>
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/WS/		Japan - PUPA 02-224068	06-09-1990	Shigeru		

Examiner Signature	/Wilbert L. Starks, Jr./	Date Considered	09/29/2007
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PTO/SB/08A

## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

Sheet 2 of 2

Application Number.: 09/100,595  
Filing Date: June 19, 1998  
First Named Inventor: Joseph P. Bigus  
Art Unit: 2762  
Examiner Name: W. Starks  
Attorney Docket Number.: RO996-052LB

## **OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS**

Examiner Signature	/Wilbert L. Starks, Jr./	Date Considered	09/29/2007
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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:	Joseph P. Bigus et al.	:	Date: July 17, 2003
Group Art Unit:	2762	:	IBM Corporation
Examiner:	W. Starks	:	Intellectual Property Law
Serial No.:	09/100,595	:	Dept. 917, Bldg. 006-1
Filed:	June 19, 1998	:	3605 Highway 52 North
Title:	OPTIMIZING THE PERFORMANCE OF COMPUTER TASKS USING INTELLIGENT AGENT WITH MULTIPLE PROGRAM MODULES HAVING VARIED DEGREES OF DOMAIN KNOWLEDGE	:	Rochester, MN 55901

INFORMATION DISCLOSURE STATEMENT AND PETITION REQUESTING  
CONSIDERATION UNDER 37 C.F.R. §1.97(d)

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Sir:

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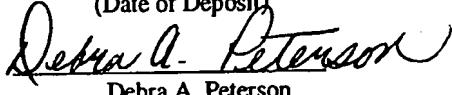
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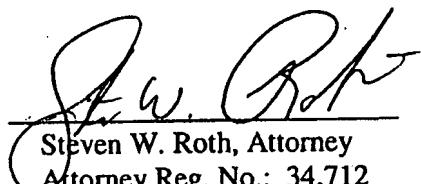
July 17, 2003

(Date of Deposit)

  
Debra A. Peterson

Respectfully submitted,

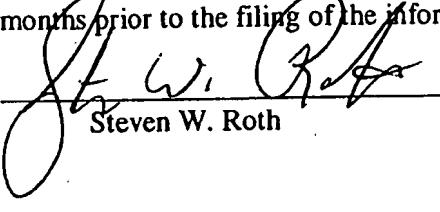
By:



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Attorney Reg. No.: 34,712  
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Telephone: (507) 253-1600

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Steven W. Roth

July 17, 2003

Date

## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

Sheet 1 of 1

Application Number.:	<u>09/100,595</u>
Filing Date:	<u>June 19, 1998</u>
First Named Inventor:	<u>Joseph P. Bigus</u>
Art Unit:	<u>2762</u>
Examiner Name:	<u>W. Starks</u>
Attorney Docket Number.:	<u>RO996-052LB</u>

## **U.S. PATENT DOCUMENTS**

## FOREIGN PATENT DOCUMENTS

Examiner Signature	/Wilbert L. Starks, Jr./	Date Considered	09/29/2007
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Joseph P. Bigus et al.

Serial No.: 09/100,595 Date: February 12, 2003  
Filed: June 19, 1998 Group No.: 2762  
For: OPTIMIZING THE PERFORMANCE OF Examiner: W. Starks  
COMPUTER TASKS USING INTELLIGENT  
AGENT WITH MULTIPLE PROGRAM  
MODULES HAVING VARIED DEGREES  
OF DOMAIN KNOWLEDGE

RECEIVED

FEB 24 2003

Technology Center 2100

INFORMATION DISCLOSURE STATEMENT AND PETITION REQUESTING  
CONSIDERATION UNDER 37 C.F.R. §1.97(d)

To the Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Applicants petition the Commissioner of Patent and Trademark that the information listed on the attached Form PTO/SB/08A be considered by the Office during the pendency of the above entitled application, pursuant to 37 C.F.R. §1.97. In accordance with 37 C.F.R. §1.97(h), the filing of this Information Disclosure Statement and Petition Requesting Consideration shall not constitute an admission that any information cited therein is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b). In the interest of full and complete disclosure to the Office, some or all of the art cited herein may not be considered by Applicant(s) or the Undersigned to be material under the new standard of materiality defined in 37 C.F.R. §1.56(b), enacted March 16, 1992, but may be material under the old standard of materiality defined in 37 C.F.R. §1.56(a), last amended on November 28, 1988, or may merely be technical background which may be of interest to the Examiner. In accordance with 37 C.F.R. §1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

02/24/2003 CNGUYEN 00000026 090465 09100595

01 FC:1460 130.00 CH

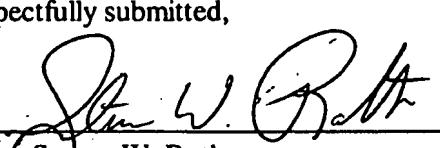
Serial No. 09/100,595  
Docket No. RO996-052LB

This Information Disclosure Statement and Petition Requesting Consideration is being filed under 37 C.F.R. §1.97(d) after final office action or notice of allowance, but before payment of the issue fee. The certification specified in 37 C.F.R. §1.97(e) follows below.

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Respectfully submitted,

By



Steven W. Roth

Attorney Reg. No. 34,712

IBM Corporation - Department 917

3605 Highway 52 North

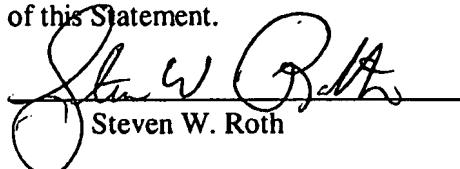
Rochester, Minnesota 55901-7829

Telephone: 1-507-253-1600

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CERTIFICATION

I hereby certify that each item of information contained herein was cited in a communication from the patent office in a related patent application not more than three months prior to the filing of this Statement.



Steven W. Roth

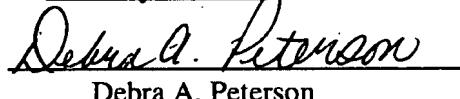
February 12, 2003

Date

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CERTIFICATE OF MAILING

I hereby certify that this paper is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on February 12, 2003.



Debra A. Peterson

February 12, 2003

Date

Serial No. 09/100,595  
Docket No. RO996-052LB

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

Sheet 1 of 1

FEB 19 2003

Application Number.: 09/100,595  
 Filing Date: June 1, 1998  
 First Named Inventor: Bigus et al.  
 Art Unit: 2762  
 Examiner Name: W. Starks  
 Attorney Docket Number.: RO996-052LB

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Patent Number <i>Document Number</i>	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns or Lines Where Relevant Passages or Figs. Appear
/WS/		US - 5,613,012	03/18/1997	Hoffman et al.	
		US -			
		US -			
		US -			
		US -			FEB 24 2003
		US -			Technology Center 2100
		US -			
		US -			
		US -			
		US -			
		US -			

**RECEIVED****FOREIGN PATENT DOCUMENTS**

Examiner Initials	Cite No. <sup>1</sup>	Foreign Patent Document Country <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> Code	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns or Lines Where Relevant Passages or Figs. Appear	T <sup>6</sup>

Examiner Signature	/Wilbert L. Starks, Jr./	Date Considered	09/29/2007
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

<sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language translation is attached.



5-13-02

#27625

2/22

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Joseph P. Bigus et al.

Date: May 8, 2002

Serial No.: 09/100,595

Group No.: 2762

Filed: June 19, 1998

Examiner: W. Starks

For: OPTIMIZING THE PERFORMANCE OF  
COMPUTER TASKS USING INTELLIGENT  
AGENT WITH MULTIPLE PROGRAM  
MODULES HAVING VARIED DEGREES  
OF DOMAIN KNOWLEDGE

RECEIVED

MAY 20 2002

Technology Center 2100

INFORMATION DISCLOSURE STATEMENT AND PETITION REQUESTING  
CONSIDERATION UNDER 37 C.F.R. §1.97(d)

To the Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Applicants petition the Commissioner of Patent and Trademark that the information listed on the attached Form PTO-1449 be considered by the Office during the pendency of the above entitled application, pursuant to 37 C.F.R. §1.97. In accordance with 37 C.F.R. §1.97(h), the filing of this Information Disclosure Statement and Petition Requesting Consideration shall not constitute an admission that any information cited therein is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b). In the interest of full and complete disclosure to the Office, some or all of the art cited herein may not be considered by Applicant(s) or the Undersigned to be material under the new standard of materiality defined in 37 C.F.R. §1.56(b), enacted March 16, 1992, but may be material under the old standard of materiality defined in 37 C.F.R. §1.56(a), last amended on November 28, 1988, or may merely be technical background which may be of interest to the Examiner. In accordance with 37 C.F.R. §1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

05/15/2002 DRAWINGS 0000002 000.00 00000101

01 FC:122

000.00 CH

Adjustment date: 05/17/2002 SSITHIB1  
05/15/2002 05AYAB11 00000051 090465 09082184  
01 FC:122 130.00 CR

05/17/2002 SSITHIB1 00000002 090465 09100595  
01 FC:122 130.00 CH

Serial No. 09/100,595

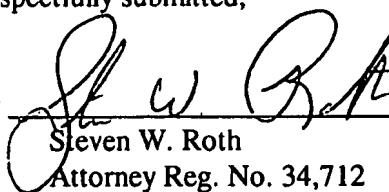
Docket No. RO996-052LB

This Information Disclosure Statement and Petition Requesting Consideration is being filed under 37 C.F.R. §1.97(d) after final office action or notice of allowance, but before payment of the issue fee. The certification specified in 37 C.F.R. §1.97(e) follows below.

The petition fee of \$130.00 set forth in 37 C.F.R. §1.17(i) is to be charged to our Deposit Account No. 09-0465.

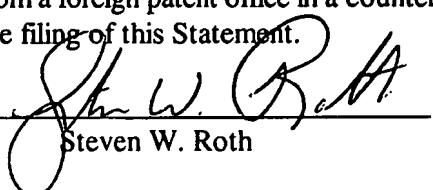
Respectfully submitted,

By

  
Steven W. Roth  
Attorney Reg. No. 34,712  
IBM Corporation - Department 917  
3605 Highway 52 North  
Rochester, Minnesota 55901-7829  
Telephone: 1-507-253-1600

-----  
CERTIFICATION

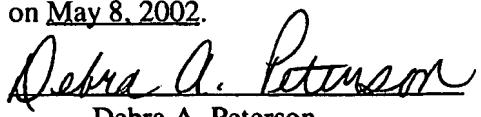
I hereby certify that each item of information contained herein was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement.

  
Steven W. Roth

May 8, 2002  
Date

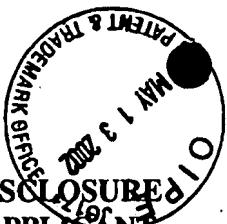
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CERTIFICATE OF MAILING

I hereby certify that this paper is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on May 8, 2002.

  
Debra A. Peterson

May 8, 2002  
Date

Serial No. 09/100,595  
Docket No. RO996-052LB


**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**
Sheet 1 of 2

Application Number.: 09/100,595  
 Filing Date: June 19, 1998  
 First Named Inventor: Joseph P. Bigus et al.  
 Art Unit: 2762  
 Examiner Name: W. Starks  
 Attorney Docket Number.: RO996-052LB

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number - Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns or Lines Where Relevant Passages or Figs. Appear
/WS/		US - 5,553,145	09-03-1996	Micali	
/WS/		US - 6,061,792	05-09-2000	Simon	RECEIVED
/WS/		US - 6,085,178	07-04-2000	Bigus et al.	MAY 20 2002
/WS/		US - 6,147,977	11-14-2000	Thro et al.	
/WS/		US - 6,192,354 B1	02-20-2001	Bigus et al.	Technology Center 2100
/WS/		US - 6,301,612 B1	10-09-2001	Selitrennikoff et al.	
/WS/		US - 6,345,264 B1	02-05-2002	Breese et al.	
		US -			
		US -			
		US -			
		US -			

**FOREIGN PATENT DOCUMENTS**

Examiner Initials	Cite No. <sup>1</sup>	Foreign Patent Document Country <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> Code	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns or Lines Where Relevant Passages or Figs. Appear	T <sup>6</sup>

Examiner Signature	/Wilbert L. Starks, Jr./	Date Considered	09/29/2007
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

<sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language translation is attached.

## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

Sheet 2 of 2

**Application Number.:** 09/100,595  
**Filing Date:** June 19, 1998  
**First Named Inventor:** Joseph P. Bigus et al.  
**Art Unit:** 2762  
**Examiner Name:** W. Starks  
**Attorney Docket Number.:** RO996-052LB

**OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS**

**Examiner Signature**

### Date Considered

~~EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.~~

**1** Applicant's unique citation designation number (optional).

<sup>2</sup> Applicant is to place a check mark here if English language translation is attached.



2720

UR 2762  
HJD 2122

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Joseph P. Bigus et al.

Serial No.: 09/100,595 Date: June 19, 2001  
Filed: June 19, 1998 Group No.: 2762  
For: OPTIMIZING THE PERFORMANCE OF Examiner: W. Starks  
COMPUTER TASKS USING INTELLIGENT  
AGENT WITH MULTIPLE PROGRAM  
MODULES HAVING VARIED DEGREES  
OF DOMAIN KNOWLEDGE

RECEIVED  
JUN 26 2001  
Technology Center 2100

INFORMATION DISCLOSURE STATEMENT AND PETITION REQUESTING  
CONSIDERATION UNDER 37 C.F.R. §1.97(d)

To the Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Applicants petition the Commissioner of Patent and Trademark that the information listed on the attached Form PTO-1449 be considered by the Office during the pendency of the above entitled application, pursuant to 37 C.F.R. §1.97. In accordance with 37 C.F.R. §1.97(h), the filing of this Information Disclosure Statement and Petition Requesting Consideration shall not constitute an admission that any information cited therein is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b). In the interest of full and complete disclosure to the Office, some or all of the art cited herein may not be considered by Applicant(s) or the Undersigned to be material under the new standard of materiality defined in 37 C.F.R. §1.56(b), enacted March 16, 1992, but may be material under the old standard of materiality defined in 37 C.F.R. §1.56(a), last amended on November 28, 1988, or may merely be technical background which may be of interest to the Examiner. In accordance with 37 C.F.R. §1.97(g), the filing of this Information Disclosure Statement

07/03/2001 DHALLI 00000001 090455 09100595  
shall not be construed to mean that a search has been made.  
01 FC:122 130.00 CH

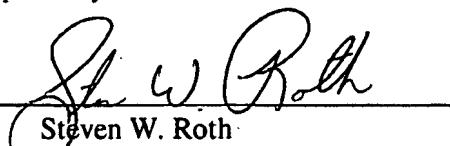
Serial No. 09/100,595  
Docket No. RO996-052LB

This Information Disclosure Statement and Petition Requesting Consideration is being filed under 37 C.F.R. §1.97(d) after final office action or notice of allowance, but before payment of the issue fee. The certification specified in 37 C.F.R. §1.97(e) follows below.

The petition fee of \$130.00 set forth in 37 C.F.R. §1.17(i) is to be charged to our Deposit Account No. 09-0465.

Respectfully submitted,

By

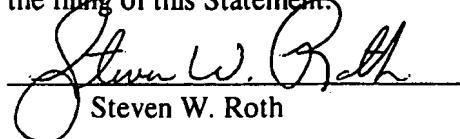
  
Steven W. Roth

Attorney Reg. No. 34,712  
IBM Corporation - Department 917  
3605 Highway 52 North  
Rochester, Minnesota 55901-7829  
Telephone: 1-507-253-1600

---

CERTIFICATION

I hereby certify that each item of information contained herein was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement.

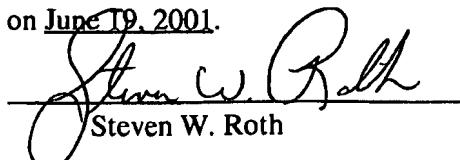
  
Steven W. Roth

June 19, 2001  
Date

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CERTIFICATE OF MAILING

I hereby certify that this paper is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on June 19, 2001.

  
Steven W. Roth

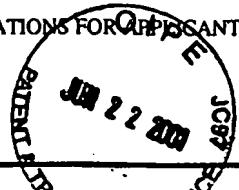
June 19, 2001  
Date

Serial No. 09/100,595  
Docket No. RO996-052LB

FORM PTO-1449 (Modified)

ATTY. DOCKET NO.  
RO996-052LBSERIAL NO.  
09/100,595LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S  
INFORMATION  
DISCLOSURE STATEMENT

(Use several sheets if necessary)

APPLICANT:  
Joseph P. Bigus et al.FILING DATE:  
June 19, 1998GROUP:  
2762

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIALS	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE (IF APPRO.)
AA						
AB						
AC						
AD						
AE						
AF						
AG						
AH						
AI						
AJ						
AK						

FOREIGN PATENT DOCUMENTS						
	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
						YES
AL						
AM						
AN						
AO						
AP						

## OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

NWS/	AR	Tetsuya Uchiki, "Price Forming Simulation in Electrical Market", Information Processing Society Memoir,
		Vol. 95, No. 105 (95-AI-102), pp. 1-6, Faculty of Business Administration, Toyo University
	AS	
	AT	

EXAMINER /Wilbert L. Starks, Jr./ DATE CONSIDERED 09/29/2007

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Joseph P. Bigus et al.

Serial No.: 09/100,595 Date: June 19, 2001  
Filed: June 19, 1998 Group No.: 2762  
For: OPTIMIZING THE PERFORMANCE OF Examiner: W. Starks  
COMPUTER TASKS USING INTELLIGENT  
AGENT WITH MULTIPLE PROGRAM  
MODULES HAVING VARIED DEGREES  
OF DOMAIN KNOWLEDGE

INFORMATION DISCLOSURE STATEMENT AND PETITION REQUESTING  
CONSIDERATION UNDER 37 C.F.R. §1.97(d)

To the Assistant Commissioner for Patents  
Washington, D.C. 20231

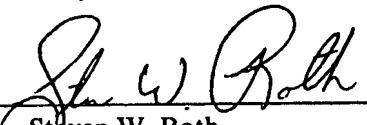
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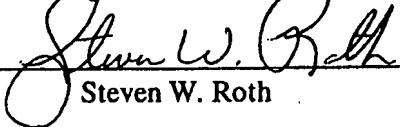
The petition fee of \$130.00 set forth in 37 C.F.R. §1.17(i) is to be charged to our Deposit Account No. 09-0465.

Respectfully submitted,

By   
Steven W. Roth  
Attorney Reg. No. 34,712  
IBM Corporation - Department 917  
3605 Highway 52 North  
Rochester, Minnesota 55901-7829  
Telephone: 1-507-253-1600

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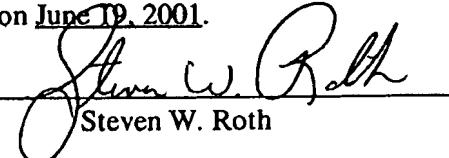
  
Steven W. Roth

June 19, 2001

Date

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CERTIFICATE OF MAILING

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Steven W. Roth

June 19, 2001

Date

Serial No. 09/100,595  
Docket No. RO996-052LB

FORM PTO-1449 (Modified)

ATTY. DOCKET NO.  
RO996-052LBSERIAL NO.  
09/100,595LIST OF PATENTS AND PUBLICATIONS FOR APPLICANTS  
INFORMATION  
DISCLOSURE STATEMENT

(Use several sheets if necessary)

APPLICANT:  
Joseph P. Bigus et al.FILING DATE:  
June 19, 1998GROUP:  
2762

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIALS		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE (IF APPRO.)
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION	
							YES	NO
	AL							
	AM							
	AN							
	AO							
	AP							

## OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

/WS/	AR	Tetsuya Uchiki, "Price Forming Simulation in Electrical Market", Information Processing Society Memoir,
		Vol. 95, No. 105 (95-AI-102), pp. 1-6, Faculty of Business Administration, Toyo University
	AS	
	AT	

EXAMINER /Wilbert L. Starks, Jr./

DATE CONSIDERED 09/29/2007

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Joseph P. Bigus et al.

Serial No.: 09/100,595 Date: February 14, 2000

Filed: June 19, 1998 Group No.: 2762

For: OPTIMIZING THE PERFORMANCE  
OF COMPUTER TASKS USING  
INTELLIGENT AGENT WITH  
MULTIPLE PROGRAM MODULES  
HAVING VARIED DEGREES OF  
DOMAIN KNOWLEDGE

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. 1.97

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Applicants request that the information listed on the attached Form PTO-1449 be considered by the Office during the pendency of the above entitled application, pursuant to 37 C.F.R. 1.97. In accordance with 37 C.F.R. 1.97(h), the filing of this Information Disclosure Statement shall not constitute an admission that any information cited therein is, or is considered to be, material to patentability as defined in 37 C.F.R. 1.56(b). In the interest of full and complete disclosure to the Office, some or all of the art cited herein may not be considered by Applicant(s) or the Undersigned to be material under the new standard of materiality defined in 37 C.F.R. 1.56(b), enacted March 16, 1992, but may be material under the old standard of materiality defined in 37 C.F.R. 1.56(a), last amended on November 28, 1988, or may merely be technical background which may be of interest to the Examiner. In accordance with 37 C.F.R. 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

Docket No.: RO996-052LB

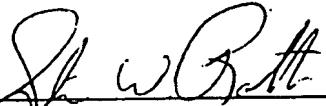
Serial No.: 09/100,595

The references listed herein were cited in a search report by a foreign patent office, a copy of which is attached hereto. If any references listed herein are in a language other than English, said foreign search report is submitted in satisfaction of the requirements of 37 C.F.R. 1.98(a)(3). Unless a translation accompanies this Statement, no written English-language translation of any non-English language document, or portion thereof, listed herein, is within the possession custody or control of, or is readily available to any individual designated in 37 C.F.R. 1.56(c).

This Information Disclosure Statement is being filed under 37 C.F.R. 1.97(c) before a final action or notice of allowance. No filing fee is required because each item of information contained herein was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement (certification provided below).

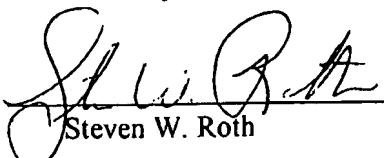
Respectfully submitted,

By

  
Steven W. Roth  
Attorney Reg. No.: 34,712  
IBM Corporation - Department 917  
3605 Highway 52 North  
Rochester, Minnesota 55901-7829  
Telephone: 1-507-253-1600

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CERTIFICATE OF MAILING

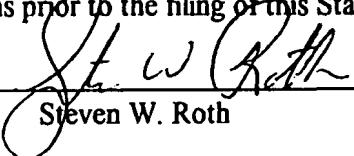
I hereby certify that this paper is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on February 14, 2000.

  
\_\_\_\_\_  
Steven W. Roth

February 14, 2000  
Date

CERTIFICATION

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\_\_\_\_\_  
Steven W. Roth

February 14, 2000

Date

FORM PTO-1449 (Modified)

## LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S

## INFORMATION

## DISCLOSURE STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.  
R0996-052LBSERIAL NO.  
098/100,595APPLICANT:  
Joseph P. Bigus et al.FILING DATE:  
June 19, 1998GROUP:  
2762

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIALS		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE (IF APPRO.)
AA							
AB							
AC							
AD							
AE							
AF							
AG							
AH							
AJ							
AK							

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION	
							YES	NO
AL								
AM								
AN								
AO								
AP								

## OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

/WS/	AR	D. Johansen et al., "Operating System Support for Mobile Agents," Workshop on Hot Topics in Operating Systems,
		pp. 42-45, 1995.
/WS/	AS	A. Mensch et al., "REAKT: Real-time Architecture for Time-critical Knowledge-based Systems," Intelligent Systems
		Engineering, pp. 143-167, Autumn 1994.
/WS/	AT	A. Reinhardt, "The Network with Smarts," 4465 Byte, McGraw-Hill, Inc., Peterborough, NH, US, Vol. 19, No. 10,
		pp. 51-64, October 1994.

EXAMINER /Wilbert L. Starks, Jr./

DATE CONSIDERED 09/29/2007

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449 (Modified)

LIST OF PATENTS AND PUBLICATIONS FOR APPLICANTS  
INFORMATION  
DISCLOSURE STATEMENT  
(Use several sheets if necessary)

ATTY. DOCKET NO.  
RO996-052LBSERIAL NO.  
09/100,595APPLICANT:  
Joseph P. Bigus et al.FILING DATE:  
June 19, 1998GROUP:  
2762

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIALS		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE (IF APPRO.)
	BA						
	BB						
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## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION	
							YES	NO
	BL							
	BM							
	BN							
	BO							
	BP							

## OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

/WS/	BR	H. Nwana et al., "An Introduction to Agent Technology," BT Technology Journal, Vol. 14, No. 4, pp. 55-67,
		October 1996.
/WS/	BS	A. Rasmussen et al., "Personal Security Assistance for Secure Internet Commerce," New Security Paradigm '96 Workshop,
		On-Line, pp. 1-12, September 16, 1996.
/WS/	BT	W. Farmer et al., "Security for Mobile Agents: Issues and Requirements," Proceedings of the 19th National Information
		Systems Security Conference, On-Line, pp. 1-7, 1996.

EXAMINER	/Wilbert L. Starks, Jr./	DATE CONSIDERED	09/29/2007
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							YES	NO
CL								
CM								
CN								
CO								
CP								

## OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

MWS/	CR	F. Hohl, "An Approach to Solve the Problem of Malicious Hosts in Mobile Agent Systems," Universitat Stuttgart,
		Fakultat Informatik, Bericht Nr. 1997/03, On-Line, pp. 1-13, March 1, 1997.
	CS	
	CT	

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/Wilbert L. Starks, Jr./

DATE CONSIDERED

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**PATENT**

IBM/04B

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Joseph Phillip Bigus et al.  
Serial No.: 09/100,595  
Filed: June 19, 1998  
For: OPTIMIZING THE PERFORMANCE OF AN INTELLIGENT AGENT IN VARIOUS DEGREES OF ENVIRONMENT

Art Unit: 2762  
Examiner: Wilbert L. Starks, Jr.  
Atty. Docket No.: IBM/04B  
E OF COMPUTER TASKS USING  
MULTIPLE PROGRAM MODULES HAVING  
KNOWLEDGE

#12 1/2  
2-16-00  
P.C

## **FOURTH SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

**Assistant Commissioner for Patents  
Washington, DC 20231**

Sir:

In accordance with Applicants' duty of disclosure under the provisions of 37 C.F.R. § 1.56, the references listed on the enclosed Form PTO-1449 are brought to the attention of the Examiner. Copies of the references are also enclosed.

No representation is made that any of the references are "prior art" within the meaning of 35 U.S.C. § 102 or § 103. Moreover, any explanations herein are not to be taken as a representation that the references have been thoroughly reviewed. In particular, no representation as to the relative relevance of any portion of a reference is intended.

Consideration of the references and the remarks presented herein in the above-identified application is respectfully requested. A check for \$240.00 pursuant to 37 CFR 1.97(c) is also enclosed herewith.

If there are any questions regarding this paper, or which might otherwise further this case onto allowance, please contact the undersigned at (513) 241-2324. Moreover, if any other charges or credits are necessary to complete this communication, please apply them to Deposit Account 23-3000.

Respectfully submitted,

14 JAN 2000

Date

Scott A. Stinebruner  
Reg. No. 38,323  
WOOD, HERRON & EVANS, L.L.P.  
2700 Carew Tower  
Cincinnati, Ohio 45202  
(513)241-2324

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IBM/04B

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Joseph Phillip Bigus et al.

Art Unit: 2762

Serial No.: 09/100,595

Examiner: Wilbert L. Starks, Jr.

Filed: June 19, 1998

Atty. Docket No.: IBM/04B

For: OPTIMIZING THE PERFORMANCE OF COMPUTER TASKS USING  
INTELLIGENT AGENT WITH MULTIPLE PROGRAM MODULES HAVING  
VARIED DEGREES OF DOMAIN KNOWLEDGE

TRANSMITTAL

Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

We are transmitting herewith the attached:

Transmittal (in duplicate) containing Certificate of Mailing Under 37 CFR 1.8  
Fourth Supplemental Information Disclosure Statement  
Substitute Form PTO-1449 (1 page)  
1 Other Art Reference  
A Check for \$240.00 for 37 CFR 1.97(c) Fee  
Reply Postcard

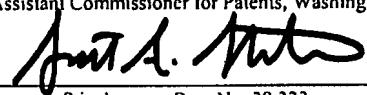
Please charge any additional fees or credit overpayment to Deposit Account No. 23-3000.  
A duplicate of this sheet is enclosed.

WOOD, HERRON & EVANS, L.L.P.  
2700 Carew Tower  
Cincinnati, Ohio 45202  
(513) 241-2324

By:   
Scott A. Stinebruner Reg. No. 38,323

CERTIFICATE OF MAILING 37 CFR 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to  
Assistant Commissioner for Patents, Washington, D.C. 20231 on January 14, 2000.

  
Scott A. Stinebruner Reg. No. 38,323

SUBSTITUTE FORM PTO-1449 (MODIFIED)	JAN 24 2000 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. IBM/04B (R0996-052L)	SERIAL NO. 09/100,595
FOURTH SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT		APPLICANT Joseph Phillip Bigus et al.	
(Use several sheets if necessary) (37 CFR 1.98(b))		FILING DATE June 19, 1998	GROUP 2762

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		PATENT NUMBER	ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
A.A							
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## FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS

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A.L							
A.M							
A.N							
A.O							
A.P							
A.Q							

## OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)

/WS/	A.R	Kahn, David, <u>The Codebreakers: The Story of Secret Writing</u> , New York: Scribner, (1996), pp. 224-229.
	A.S	
	A.T	

EXAMINER <i>/Wilbert L. Starks, Jr./</i>	DATE CONSIDERED 09/29/2007
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									APPLICANT Joseph Phillip Bigus et al.		
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(37 CFR 1.98(b))											

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/WS/	A.A	4	9	1	4	5	8	5	04/03/90	Packard et al.	364	200	05/23/88
/WS/	A.B	5	0	7	3	8	9	0	12/17/91	Peter J. Danielsen	370	58.2	12/30/88
/WS/	A.C	5	1	1	7	4	9	6	05/26/92	Stearns et al.	395	700	05/23/88
/WS/	A.D	5	1	5	5	7	6	3	10/13/92	Bigus et al.	379	113	12/11/90
/WS/	A.E	5	2	2	6	1	7	6	07/06/93	Westaway et al.	395	800	08/20/90
/WS/	A.F	5	2	3	5	6	4	2	08/10/93	Wobber et al.	380	25	07/21/92
/WS/	A.G	5	2	4	1	6	2	1	08/31/93	Ronald G. Smart	395	51	06/26/91
/WS/	A.H	5	2	7	6	7	6	8	01/04/94	James L. Bander	395	10	03/20/91
/WS/	A.I	5	3	0	1	3	2	0	04/05/94	McAtee et al.	395	650	06/28/91
/WS/	A.J	5	3	1	7	6	8	8	05/31/94	Ralph T. Watson et al.	395	161	02/26/93
/WS/	A.K	5	3	2	5	5	2	8	06/28/94	Johannes Klein	395	650	04/22/93

## FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS

		DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION (YES/NO)
/WS/	A.L	WO9321586	10/28/93				
/WS/	A.M	WO9500907	01/05/95				
/WS/	A.N	WO9502217	01/19/95				
/WS/	A.O	WO9511560	04/27/95				
/WS/	A.P	WO9515635	06/08/95				
/WS/	A.Q	2061117	02/12/92	Application for Canadian Patent			

## OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)

/WS/	A.R	Gilbert et al., "IBM Intelligent Agents", <a href="http://www.networking.ibm.com/iag/iagwp1.htm1">http://www.networking.ibm.com/iag/iagwp1.htm1</a> , (1996).
/WS/	A.S	"Commercial Expert System Shells", <a href="http://www.ioe.ac.uk/hgm/expert3.html">http://www.ioe.ac.uk/hgm/expert3.html</a> , (1997).
/WS/	A.T	"Commercial Software Packages for Neural Network Simulation", <a href="ftp://ftp.sas.com/pub/neural/FAQ6.html">ftp://ftp.sas.com/pub/neural/FAQ6.html</a> , (1997).

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EXAMINER INITIAL		PATENT NUMBER						ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
/WS/	B.A	5	3	2	9	6	2	6	Klein et al.	395	375	10/23/90
/WS/	B.B	5	3	6	7	4	5	4	Kawamoto et al.	364	419.20	06/25/93
/WS/	B.C	5	3	6	7	6	3	5	Bauer et al.	395	200	08/29/91
/WS/	B.D	5	3	7	1	8	8	9	Johannes Klein	395	650	04/22/93
/WS/	B.E	5	3	9	2	3	4	5	Mary R. Otto	379	265	04/30/93
/WS/	B.F	5	3	9	8	0	1	2	Jeffrey H. Derby et al.	340	825.03	11/24/92
/WS/	B.G	5	4	0	8	4	7	0	Lewis V. Rothrock et al.	370	62	10/14/93
/WS/	B.H	5	4	2	1	0	1	3	Curtis A. Smith	395	650	07/08/93
/WS/	B.I	5	4	2	3	0	4	3	Fitzpatrick et al.	395	700	01/21/94
/WS/	B.J	5	4	6	5	2	8	6	Clare et al.	379	34	05/24/94
/WS/	B.K	5	4	6	9	5	6	2	Christian D. Saether	395	182.18	06/26/92

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/WS/	B.L	EP0519109A1	12/23/92	European			Yes
/WS/	B.M	EP0589249A2	03/30/94	European			Yes
/WS/	B.N	EP0598534A1	05/25/94	European			Yes
/WS/	B.O	EP0611210A1	08/17/94	European			Yes
/WS/	B.P	JP3195141	1991	Japan			Yes
/WS/	B.Q	JP4157944	1992	Japan			Yes

## OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)

/WS/	B.R	A.D. Kwok et al., "A Development System for Intelligent Agent Manufacturing Software", <i>Integrated Manufacturing Systems</i> , 1994, Vol. 5 No. 4/5, pp.64-76.
/WS/	B.S	Barbara Hayes-Roth, "An architecture for adaptive intelligent systems", <i>Artificial Intelligence</i> , January 1995, Volume 72, Numbers 1-2, pp. 329-365.
/WS/	B.T	Siegfried R. Bocionek, "Agent systems that negotiate and learn", <i>International Journal of Human-Computer Studies</i> , March 1995, Volume 42, No. 3, pp. 265-288.

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/WS/	C.A	5	4	8	1	7	1	5	01/02/96	Hamilton et al.	395	700	12/15/93
/WS/	C.B	5	4	8	1	6	9	9	01/02/96	Christian D. Saether	395	182.13	03/23/95
/WS/	C.C	5	6	0	3	0	3	1	02/11/97	White et al.	395	683	07/08/93
	C.D												
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/WS/	C.L	JP4256101	1992	Japan			No
/WS/	C.M	JP5324009	1993	Japan			No
/WS/	C.N	JP6175944	1994	Japan			Yes
	C.O						
	C.P						
	C.Q						

## OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)

/WS/	C.R	Darrell Woelk et al., "Uncovering the next generation of active objects", OBJECT magazine, July/August 1995, pp. 32-40.
/WS/	C.S	Jan Ozer, "Totally Streaming Multimedia", CD-ROM Professional, August 1996, Volume 9 No. 8, pp. 54-66.
/WS/	C.T	Barbara Hayes-Roth et al., "A Domain-Specific Software Architecture for Adaptive Intelligent Systems", IEEE Transactions on Software Engineering, April 1995, Vol. 21, No. 4, pp. 288-301.

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OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)							
/WS/	D.R	Glenn R. Stearns, "Agents and the HP NewWave Application Program Interface", <i>Hewlett-Packard Journal</i> , August 1989, pp. 32-37.					
/WS/	D.S	T.J. Grant, "A review of Multi-Agent Systems techniques, with application to Columbus User Support Organisation", <i>Future Generation Computer Systems</i> , May 1992, Volume 7, Number 4, pp. 413-437.					
/WS/	D.T	Mufit Ozden, "Intelligent Objects in Simulation", <i>QRSA Journal on Computing</i> , Fall 1994, Vol. 6, No. 4, pp. 329-341.					
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	E.P						
	E.Q						

## OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)

/WS/	E.R	Peter Gibbons et al., "Intelligent Agents in Multi-Media Systems", <u>Sharp Technical Journal</u> , December 1994, Volume 60, pp. 11-14.
/WS/	E.S	Cristiano Castelfranchi, "Guarantees for Autonomy in Cognitive Agent Architecture", <u>Proceedings of ECAL-94 Workshop on Agent Theories, Architectures, and Languages</u> , Amsterdam, The Netherlands, August 8-9, 1994, pp. 56-70.
/WS/	E.T	Devindra Weerasooriya et al., "Design of a Concurrent Agent-Oriented Language", <u>Proceedings of ECAL-94 Workshop on Agent Theories, Architectures, and Languages</u> , Amsterdam, The Netherlands, August 8-9, 1994, pp. 386-401.

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OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)							
/WS/	F.R	Agostino Poggi, "DAISY: an Object-Oriented System for Distributed Artificial Intelligence", <u>Proceedings of ECAI-94 Workshop on Agent Theories, Architectures, and Languages</u> , Amsterdam, The Netherlands, August 8-9, 1994, pp. 341-354.					
/WS/	F.S	David Kinny et al., "Planned Team Activity", <u>4th European Workshop on Modelling Autonomous Agents in a Multi-Agent World</u> , MAAMAW '92, S. Martino al Cimino, Italy, July 29-31, 1992, pp. 227-256.					
/WS/	F.T	Stephen Marsh, "Trust in Distributed Artificial Intelligence", <u>4th European Workshop on Modelling Autonomous Agents in a Multi-Agent World</u> , MAAMAW '92, S. Martino al Cimino, Italy, July 29-31, 1992, pp. 94-112.					
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/WS/	G.R	Beerud Sheth et al., "Evolving Agents For Personalized Information Filtering", Proceedings of the Ninth Conference on Artificial Intelligence for Applications, Orlando, Florida, March 1-5, 1993, pp. 345-352.					
/WS/	G.S	Tremaine A.O. Cornish et al., "What Has Mill to Say about Data Mining", Proceedings of The 11th Conference on Artificial Intelligence for Applications, Los Angeles, California, February 20-23, 1995, pp. 347-353.					
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EXAMINER				DATE CONSIDERED			
/Wilbert L. Starks, Jr./				09/29/2007			

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SUBSTITUTE FORM PTO-1449 (MODIFIED)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. IBM/04B (R0996-052L)	SERIAL NO. 09/100,595
INFORMATION DISCLOSURE STATEMENT BY APPLICANT  (Use several sheets if necessary)  (37 CFR 1.98(b))				APPLICANT Joseph Phillip Bigus et al.	
				FILING DATE June 19, 1998	GROUP 2762

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		PATENT NUMBER	ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	H.A						
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/WS/	H.R	Enrique D. Espinosa, "Intelligent Classroom Information Agent Multimedia Lab & Visual Guides for Datastructures II", <i>Proceedings of the Int'l. Conf. on Multimedia Computing and Systems</i> , Washington, D.C., May 15-18, 1995, pp. 302-305.
/WS/	H.S	Rolf Pfeifer et al., "Distributed Adaptive Control: A Paradigm for Designing Autonomous Agents", <i>Toward a Practice of Autonomous Systems, Proceedings of the First European Conf. on Artificial Life</i> , Paris, France, Dec. 1991, pp. 21-30.
/WS/	H.T	Alison Cawsey et al., "A Comparison of Architectures for Autonomous Multi-Agent Communication", <i>Proceedings of the 10th European Conference on Artificial Intelligence</i> , Vienna, Austria, August 3-7, 1992, pp. 249-251.

EXAMINER	/Wilbert L. Starks, Jr./	DATE CONSIDERED	09/29/2007
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/WS/	I.R	Paul Kearney et al., "Emergent Behaviour in a Multi-Agent Economic Situation", <u>Proceedings of the 11th European Conference on Artificial Intelligence</u> , Amsterdam, The Netherlands, August 8-12, 1994, pp. 284-288.
/WS/	I.S	Wayne Wobcke, "Reasoning about Action from the Perspective of Situation Semantics, <u>Proceedings of the 6th Australian Joint Conference on Artificial Intelligence</u> , Melbourne, Australia, November 16-19, 1993, pp. 71-76.
/WS/	I.T	Gunilla A. Sundstrom et al., "Cooperative Human-Computer Decision Making: An Experiment and Some Design Implications", <u>Proceedings of the Human Factors and Ergonomics Society 38th Annual Meeting</u> , Nashville, Tennessee, October 24-28, 1994, pp. 220-224.

EXAMINER /Wilbert L. Starks, Jr./	DATE CONSIDERED 09/29/2007
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/WS/	J.R	T. Moody, "AT&T Personalink (SM) - A Public Network for Smart Agent Pics", IEE Colloquium on Roaming with Data, London, UK, March 6, 1995, Digest No. 1995/046.
/WS/	J.S	Lech Polkowski et al., "Introducing Rough Mereological Controllers: Rough Quality Control", Proceedings of RSSC '94 3rd Int'l. Workshop on Rough Sets and Soft Computing, San Jose, California, Nov. 10-12, 1994.
/WS/	J.T	Terence J. Parr et al., "A Language for Creating and Manipulating VRML", Symposium on the VRML '95, San Jose, California, December 14-15, 1995, pp. 123-131.

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## OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)

/WS/	K.R	Joseph P. Bigus, <u>Data Mining with Neural Networks</u> , McGraw-Hill Publishing Company, 1996.
/WS/	K.S	David M. Chess, "Security Considerations in Agent-Based Systems", <u>For the 1st Annual Conference on Emerging Technologies and Applications in Communications</u> , Portland, Oregon, May 7-10, 1996.
	K.T	

EXAMINER	/Wilbert L. Starks, Jr./	DATE CONSIDERED
		09/29/2007

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PATENT

IBM/04B

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Joseph Phillip Bigus et al. Art Unit: 2762  
Serial No.: 09/100,595 Examiner: Wilbert L. Starks, Jr.  
Filed: June 19, 1998 Atty. Docket No.: IBM/04B  
For: OPTIMIZING THE PERFORMANCE OF COMPUTER TASKS USING  
INTELLIGENT AGENT WITH MULTIPLE PROGRAM MODULES HAVING  
VARIED DEGREES OF DOMAIN KNOWLEDGE

**TRANSMITTAL**

Assistant Commissioner for Patents  
Washington, DC 20231

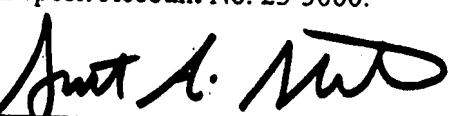
Sir:

We are transmitting herewith the attached:

Transmittal (in duplicate) containing Certificate of Mailing Under 37 CFR 1.8  
Third Supplemental Information Disclosure Statement  
Substitute Form PTO-1449 (1 page)  
1 Other Art Reference  
Check for \$240.00 for 37 CFR 1.97(c) Fee  
Reply Post Card

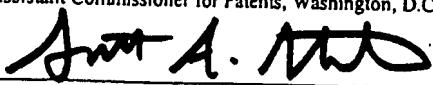
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WOOD, HERRON & EVANS, L.L.P.  
2700 Carew Tower  
Cincinnati, Ohio 45202  
(513) 241-2324

By:   
Scott A. Stinebruner Reg. No. 38,323

**CERTIFICATE OF MAILING 37 CFR 1.8**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to  
Assistant Commissioner for Patents, Washington, D.C. 20231 on November 17, 1999.

  
Scott A. Stinebruner Reg. No. 38,323

SUBSTITUTE FORM PTO-1449 (MODIFIED)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE			ATTY. DOCKET NO. IBM/04B (R0996-052L)	SERIAL NO. 09/100,595		
THIRD SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT  (Use several sheets if necessary) (37 CFR 1.98(b))					APPLICANT Joseph Phillip Bigus et al.			
					FILING DATE June 19, 1998	GROUP 2762		
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FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS								
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OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)								
/WS/	A.R	Bruce Schneier, <u>Applied Cryptography, Second Edition: Protocols, Algorithms, and Source Code in C</u> , John Wiley & Sons, Inc. (1996), pp. v-xiv and 1-10.						
	A.S							
	A.T							
EXAMINER /Wilbert L. Starks, Jr./				DATE CONSIDERED 09/29/2007				

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IBM/04B

Group 2700

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Joseph Phillip Bigus et al.

Art Unit: 2762

Serial No.: 09/100,595

Examiner: Unknown

Filed: June 19, 1998

Atty. Docket No.: IBM/04B

For: OPTIMIZING THE PERFORMANCE OF COMPUTER TASKS USING  
INTELLIGENT AGENT WITH MULTIPLE PROGRAM MODULES  
HAVING VARIED DEGREES OF DOMAIN KNOWLEDGE (AS  
AMENDED)

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

In accordance with Applicants' duty of disclosure under the provisions of 37 C.F.R. § 1.56, the references listed on the enclosed Form PTO-1449 are brought to the attention of the Examiner. Copies of the references are also enclosed.

No representation is made that any of the references are "prior art" within the meaning of 35 U.S.C. § 102 or § 103. Moreover, any explanations herein are not to be taken as a representation that the references have been thoroughly reviewed. In particular, no representation as to the relative relevance of any portion of a reference is intended.

Consideration of the references and the remarks presented herein in the above-identified application is respectfully requested.

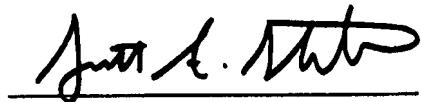
If there are any questions regarding this paper, or which might otherwise further this case onto allowance, please contact the undersigned at (513)241-2324. Moreover, if

any other charges or credits are necessary to complete this communication, please apply them to Deposit Account 23-3000.

Respectfully submitted,

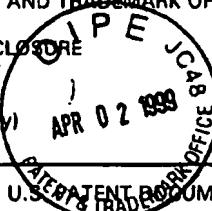
24 MAR 1999

Date



Scott A. Stinebruner  
Reg. No. 38,323  
WOOD, HERRON & EVANS, L.L.P.  
2700 Carew Tower  
Cincinnati, Ohio 45202  
(513)241-2324

SUBSTITUTE FORM PTO-1449 (MODIFIED)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE						ATTY. DOCKET NO. IBM/04B (R0996-052L)	SERIAL NO. 09/100,595
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EXAMINER INITIAL		PATENT NUMBER						ISSUE DATE	PATENTEE		CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
/WS/	A.A	4	8	8	1	2	6	3	11/14/89	Herbison et al.	380	21	09/25/87
/WS/	A.B	5	3	5	5	4	4	4	10/11/94	Chirico	395	51	10/25/93
/WS/	A.C	5	4	6	5	3	0	8	11/07/95	Hutcheson et al.	382	159	08/25/93
/WS/	A.D	5	6	4	6	9	9	8	07/08/97	Stambler	380	25	05/22/95
/WS/	A.E	5	6	8	9	6	5	2	11/18/97	Lupien et al.	395	237	04/27/95
/WS/	A.F	5	6	9	6	8	2	8	12/09/97	Koopman, Jr.	380	46	09/22/95
/WS/	A.G	5	7	1	5	3	1	2	02/03/98	Ijtsma	380	3	04/01/98
/WS/	A.H	5	7	1	7	9	8	9	02/10/98	Tozzoli et al.	705	37	10/13/94
/WS/	A.I	5	7	6	5	0	2	8	06/09/98	Gladden	395	11	05/07/96
/WS/	A.J	5	7	9	0	7	8	9	08/04/98	Suarez	395	200.32	08/02/96
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## OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)

/WS/	B.R	Gregory E. Kersten et al., "Negotiation in Distributed Artificial Intelligence: Drawing from Human Experience", <u>Proceedings of the Twenty-Seventh Annual Hawaii International Conference on System Sciences</u> , (1994), pp. 258-270.
/WS/	B.S	Jim R. Oliver, "On Artificial Agents for Negotiation in Electronic Commerce", <u>Proceedings of the 29th Annual Hawaii International Conference on System Sciences</u> , (1996), pp. 337-346.
/WS/	B.T	Edward A. Billard, "Effects of Group Size on Goal-Directed Agents in Distributed Environments", IEEE Publication No. 0-7803-2559-1/95, (1995), pp. 3403-3408.

EXAMINER	/Wilbert L. Starks, Jr./	DATE CONSIDERED
		09/29/2007

EXAMINER: Initial if citation considered, whether or not in conformance. Draw line through citation only if not in conformance and not considered. Include a copy of this form with next communication to applicant.

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Joseph P. Bigus et al. : Date: December 14, 1998  
Group Art Unit: 2762 : IBM Corporation  
Examiner: Unassigned : Intellectual Property Law  
Serial No.: 09/100,595 : Dept. 917, Bldg. 006-1  
Filed: June 19, 1998 : 3605 Highway 52 North  
Title: PROGRAM PRODUCT FOR  
OPTIMIZING THE PERFORMANCE  
OF COMPUTER TASKS USING  
INTELLIGENT AGENT WITH  
MULTIPLE PROGRAM MODULES  
HAVING VARIED DEGREES OF  
DOMAIN KNOWLEDGE

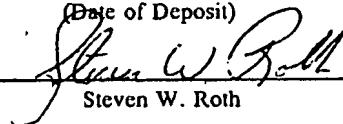
Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

I hereby certify that this correspondence is  
being deposited with the United States Postal  
Service as first class mail in an envelope  
addressed to: Assistant Commissioner for  
Patents, Washington, D.C. 20231, on

December 14, 1998

(Date of Deposit)



Steven W. Roth

INFORMATION DISCLOSURE STATEMENT

Applicants request that the information listed on the attached Form PTO-1449 be considered by the Office during the pendency of the above entitled application, pursuant to 37 C.F.R. 1.97. In accordance with 37 C.F.R. 1.97(b), the filing of this Information Disclosure Statement shall not constitute an admission that any information cited therein is, or is considered to be, material to patentability as defined in 37 C.F.R. 1.56(b). In the interest of full and complete disclosure to the Office, some or all of the art cited herein may not be considered by Applicant(s) or the Undersigned to be material under the new standard of materiality defined in 37 C.F.R. 1.56(b), enacted March 16, 1992, but may be material under the old standard of materiality defined in 37 C.F.R. 1.56(a), last amended on

Serial No. 09/100,595  
Docket No. RO996-052LB

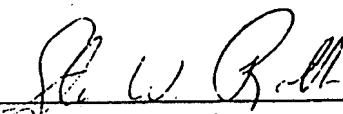
November 28, 1988, or may merely be technical background which may be of interest to the Examiner. In accordance with 37 C.F.R. 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

The references listed herein were cited in a search report by a foreign patent office, a copy of which is attached hereto. If any references listed herein are in a language other than English, said foreign search report is submitted in satisfaction of the requirements of 37 C.F.R. 1.98(a)(3). Unless a translation accompanies this Statement, no written English-language translation of any non-English language document, or portion thereof, listed herein, is within the possession custody or control of, or is readily available to any individual designated in 37 C.F.R. 1.56(c).

This Information Disclosure Statement is being filed under 37 C.F.R. 1.97(c) before a final action or notice of allowance. No filing fee is required because each item of information contained herein was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement (certification provided below).

Respectfully submitted,

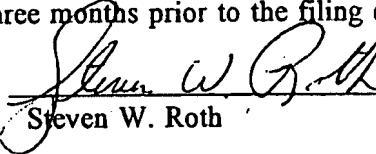
By

  
\_\_\_\_\_  
Steven W. Roth  
Attorney Reg. No. 34,712  
Telephone: (507) 253-1600  
Fax: (507) 253-2382

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CERTIFICATION

I hereby certify that each item of information contained herein was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement.

  
\_\_\_\_\_  
Steven W. Roth

December 14, 1998  
Date

FORM PTO-1449 (Modified)								ATTY. DOCKET NO. R0996-052LB	SERIAL NO. 09/100,595
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT								APPLICANT: Joseph P. Bigus et al.	
(Use several sheets if necessary)								FILING DATE: June 19, 1998	GROUP: 2762

REFERENCE DESIGNATION			U.S. PATENT DOCUMENTS								
EXAMINER INITIALS		DOCUMENT NUMBER	DATE			NAME			CLASS	SUB-CLASS	FILING DATE (IF APPRO.)
	AA	5 7 6 1 6 6 3	06/02/98			Konrad Charles Lagarde et al.			707	10	05/15/97
	AB										
	AC										
	AD										
	AE										
	AF										
	AG										
	AH										
	AI										
	AJ										
	AK										

FOREIGN PATENT DOCUMENTS											
		DOCUMENT NUMBER	DATE			COUNTRY	CLASS	SUB-CLASS	TRANSLATION		
									YES	NO	
	AL										
	AM										
	AN										
	AO										
	AP										

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)											
/WS/	AR		Selker, Ted, "Coach: A Teaching Agent that Learns," Communication of the ACM, Vol. 37, No. 7,								
		July 1994, pp. 92-99.									
	AS										
	AT										

EXAMINER	/Wilbert L. Starks, Jr./	DATE CONSIDERED	09/29/2007
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

PATENT

IBM/04B

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Joseph Phillip Bigus et al.

Art Unit: 2762

Serial No.: 09/100,595

Examiner: Unknown

Filed: June 19, 1998

Atty. Docket No.: IBM/04B

For:

PROGRAM PRODUCT FOR OPTIMIZING THE PERFORMANCE OF  
COMPUTER TASKS USING INTELLIGENT AGENT WITH MULTIPLE  
PROGRAM MODULES HAVING VARIED DEGREES OF DOMAIN  
KNOWLEDGE

TRANSMITTAL

Assistant Commissioner for Patents

Washington, DC 20231

Sir:

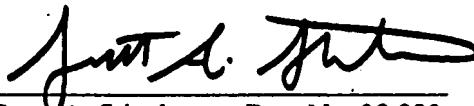
We are transmitting herewith the attached:

Transmittal (in duplicate) containing Certificate of Mailing Under 37 CFR 1.8  
Information Disclosure Statement  
Form PTO-1449 (11 pages)  
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Please charge any additional fees or credit overpayment to Deposit Account No. 23-3000.

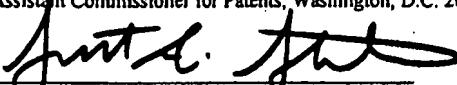
A duplicate of this sheet is enclosed.

WOOD, HERRON & EVANS, L.L.P.  
2700 Carew Tower  
Cincinnati, Ohio 45202  
(513) 241-2324

By:   
Scott A. Stinebruner Reg. No. 38,323

CERTIFICATE OF MAILING 37 CFR 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to Assistant Commissioner for Patents, Washington, D.C. 20231 on August 28, 1998.

  
Scott A. Stinebruner Reg. No. 38,323

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Joseph Phillip Bigus et al. Art Unit: 2762  
Serial No.: 09/100,595 Examiner: Unknown  
Filed: June 19, 1998 Atty. Docket No.: IBM/04B  
For: PROGRAM PRODUCT FOR OPTIMIZING THE PERFORMANCE OF  
COMPUTER TASKS USING INTELLIGENT AGENT WITH MULTIPLE  
PROGRAM MODULES HAVING VARIED DEGREES OF DOMAIN  
KNOWLEDGE

**INFORMATION DISCLOSURE STATEMENT**

Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

In accordance with Applicants' duty of disclosure under the provisions of 37 C.F.R. § 1.56, the references listed on the enclosed Form PTO-1449 are brought to the attention of the Examiner.

It is also brought to the attention of the Examiner the following co-pending U.S. Patent Applications, all filed in the name of Joseph Phillip Bigus et al.:

<u>Serial No.</u>	<u>Filing Date</u>	<u>Title</u>	<u>Docket No.</u>
08/821,935	March 21, 1997	INTELLIGENT AGENT WITH NEGOTIATION CAPABILITY AND METHOD OF NEGOTIATION THEREWITH	IBM/02
08/822,119	March 21, 1997	APPARATUS AND METHOD FOR COMMUNICATING BETWEEN AN INTELLIGENT AGENT AND CLIENT COMPUTER PROCESS USING DISGUISED MESSAGES	IBM/03
08,826,107	March 21, 1997	APPARATUS AND METHOD FOR OPTIMIZING THE PERFORMANCE OF COMPUTER TASKS USING MULTIPLE INTELLIGENT AGENTS HAVING VARIED DEGREES OF DOMAIN KNOWLEDGE	IBM/01

Each of the references was cited in the parent for the above-identified application, U.S. Serial No. 08/822,993, filed on March 21, 1997 by Joseph Phillip Bigus et al. and entitled "APPARATUS AND METHOD FOR OPTIMIZING THE PERFORMANCE OF COMPUTER TASKS USING INTELLIGENT AGENT WITH MULTIPLE PROGRAM MODULES HAVING VARIED DEGREES OF DOMAIN KNOWLEDGE". Accordingly, no copies of the references are provided.

No representation is made that any of the references are "prior art" within the meaning of 35 U.S.C. § 102 or § 103. Moreover, any explanations herein are not to be taken as a representation that the references have been thoroughly reviewed. In particular, no representation as to the relative relevance of any portion of a reference is intended.

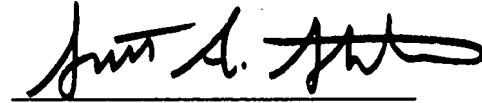
Consideration of the references and the remarks presented herein in the above-identified application is respectfully requested.

If there are any questions regarding this paper, or which might otherwise further this case onto allowance, please contact the undersigned at (513)241-2324. Moreover, if any other charges or credits are necessary to complete this communication, please apply them to Deposit Account 23-3000.

Respectfully submitted,

28 AUG 1998

Date



Scott A. Stinebruner  
Reg. No. 38,323  
WOOD, HERRON & EVANS, L.L.P.  
2700 Carew Tower  
Cincinnati, Ohio 45202  
(513)241-2324

SUBSTITUTE FORM PTO-1449 (MODIFIED)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE							ATTY. DOCKET NO. IBM/04B (R0996-052L)	SERIAL NO. 09/100,595
		INFORMATION DISCLOSURE STATEMENT BY APPLICANT							APPLICANT Joseph Phillip Bigus et al.	
		(Use several sheets if necessary)							FILING DATE June 19, 1998	GROUP 2762
(37 CFR 1.98(b))										

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		PATENT NUMBER							ISSUE DATE	PATENTEE		CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
/WS/	A.A	4	9	1	4	5	8	5	04/03/90	Packard et al.		364	200	05/23/88
/WS/	A.B	5	0	7	3	8	9	0	12/17/91	Peter J. Danielsen		370	58.2	12/30/88
/WS/	A.C	5	1	1	7	4	9	6	05/26/92	Stearns et al.		395	700	05/23/88
/WS/	A.D	5	1	5	5	7	6	3	10/13/92	Bigus et al.		379	113	12/11/90
/WS/	A.E	5	2	2	6	1	7	6	07/06/93	Westaway et al.		395	800	08/20/90
/WS/	A.F	5	2	3	5	6	4	2	08/10/93	Wobber et al.		380	25	07/21/92
/WS/	A.G	5	2	4	1	6	2	1	08/31/93	Ronald G. Smart		395	51	06/26/91
/WS/	A.H	5	2	7	6	7	6	8	01/04/94	James L. Bander		395	10	03/20/91
/WS/	A.I	5	3	0	1	3	2	0	04/05/94	McAtee et al.		395	650	06/28/91
/WS/	A.J	5	3	1	7	6	8	8	05/31/94	Ralph T. Watson et al.		395	161	02/26/93
/WS/	A.K	5	3	2	5	5	2	8	06/28/94	Johannes Klein		395	650	04/22/93

## FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS

		DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION (YES/NO)
	A.L	WO9321586	10/28/93				
	A.M	WO9500907	01/05/95				
	A.N	WO9502217	01/19/95				
	A.O	WO9511560	04/27/95				
	A.P	WO9515635	06/08/95				
/WS/	A.Q	2061117	02/12/92	Application for Canadian Patent			

## OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)

/WS/	A.R	Gilbert et al., "IBM Intelligent Agents", <a href="http://www.networking.ibm.com/iag/iagwp1.htm1">http://www.networking.ibm.com/iag/iagwp1.htm1</a> , (1996).
/WS/	A.S	"Commercial Expert System Shells", <a href="http://www.ioe.ac.uk/hgm/expert3.html">http://www.ioe.ac.uk/hgm/expert3.html</a> , (1997).
/WS/	A.T	"Commercial Software Packages for Neural Network Simulation", <a href="ftp://ftp.sas.com/pub/neural/FAQ6.html">ftp://ftp.sas.com/pub/neural/FAQ6.html</a> , (1997).

EXAMINER	/Wilbert L. Starks, Jr./	DATE CONSIDERED
		09/29/2007

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SUBSTITUTE FORM PTO-1449 (MODIFIED)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE						ATTY. DOCKET NO. IBM/048 (R0996-052L)	SERIAL NO. 09/100,595
								APPLICANT Joseph Phillip Bigus et al.	
(37 CFR 1.98(b))		(Use several sheets if necessary)						FILING DATE June 19, 1998	GROUP 2762

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		PATENT NUMBER						ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
/WS/	B.A	5	3	2	9	6	2	6	07/12/94	Klein et al.	395	375	10/23/90
/WS/	B.B	5	3	6	7	4	5	4	11/22/94	Kawamoto et al.	364	419.20	06/25/93
/WS/	B.C	5	3	6	7	6	3	5	11/22/94	Bauer et al.	395	200	08/29/91
/WS/	B.D	5	3	7	1	8	8	9	12/06/94	Johannes Klein	395	650	04/22/93
/WS/	B.E	5	3	9	2	3	4	5	02/21/95	Mary R. Otto	379	265	04/30/93
/WS/	B.F	5	3	9	8	0	1	2	03/14/95	Jeffrey H. Derby et al.	340	825.03	11/24/92
/WS/	B.G	5	4	0	8	4	7	0	04/18/95	Lewis V. Rothrock et al.	370	62	10/14/93
/WS/	B.H	5	4	2	1	0	1	3	05/30/95	Curtis A. Smith	395	650	07/08/93
/WS/	B.I	5	4	2	3	0	4	3	06/06/95	Fitzpatrick et al.	395	700	01/21/94
/WS/	B.J	5	4	6	5	2	8	6	11/07/95	Clare et al.	379	34	05/24/94
/WS/	B.K	5	4	6	9	5	6	2	11/21/95	Christian D. Saether	395	182.18	06/26/92

## FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS

		DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION (YES/NO)
/WS/	B.L	EP0519109A1	12/23/92	European			Yes
/WS/	B.M	EP0589249A2	03/30/94	European			Yes
/WS/	B.N	EP0598534A1	05/25/94	European			Yes
/WS/	B.O	EP0611210A1	08/17/94	European			Yes
/WS/	B.P	JP3195141	1991	Japan			Yes
/WS/	B.Q	JP4157944	1992	Japan			Yes

## OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)

/WS/	B.R	A.D. Kwok et al., "A Development System for Intelligent Agent Manufacturing Software", <u>Integrated Manufacturing Systems</u> , 1994, Vol. 5 No. 4/5, pp.64-76.
/WS/	B.S	Barbara Hayes-Roth, "An architecture for adaptive intelligent systems", <u>Artificial Intelligence</u> , January 1995, Volume 72, Numbers 1-2, pp. 329-365.
/WS/	B.T	Siegfried R. Bocionek, "Agent systems that negotiate and learn", <u>International Journal of Human-Computer Studies</u> , March 1995, Volume 42, No. 3, pp. 265-288.

EXAMINER	/Wilbert L. Starks, Jr./	DATE CONSIDERED	09/29/2007
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SUBSTITUTE FORM PTO-1449 (MODIFIED)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE					ATTY. DOCKET NO. IBM/048 (R0996-052L)	SERIAL NO. 09/100,595
		INFORMATION DISCLOSURE STATEMENT BY APPLICANT					APPLICANT Joseph Phillip Bigus et al.	
(37 CFR 1.98(b))		(Use several sheets if necessary)					FILING DATE June 19, 1998	GROUP 2762

U.S. PATENT DOCUMENTS													
EXAMINER INITIAL		PATENT NUMBER					ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE		
/WS/	C.A	5	4	8	1	7	1	5	01/02/96	Hamilton et al.	395	700	12/15/93
/WS/	C.B	5	4	8	1	6	9	9	01/02/96	Christian D. Saether	395	182.13	03/23/95
/WS/	C.C	5	6	0	3	0	3	1	02/11/97	White et al.	395	683	07/08/93
	C.D												
	C.E												
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	C.G												
	C.H												
	C.I												
	C.J												
	C.K												

## FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS

		DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION (YES/NO)
/WS/	C.L	JP4256101	1992	Japan			No
/WS/	C.M	JP5324009	1993	Japan			No
/WS/	C.N	JP6175944	1994	Japan			Yes
	C.O						
	C.P						
	C.Q						

## OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)

	C.R	Darrell Woelk et al., "Uncovering the next generation of active objects", OBJECT magazine, July/August 1995, pp. 32-40.
	C.S	Jan Ozer, "Totally Streaming Multimedia", CD-ROM Professional, August 1996, Volume 9 No. 8, pp. 54-66.
	C.T	Barbara Hayes-Roth et al., "A Domain-Specific Software Architecture for Adaptive Intelligent Systems", IEEE Transactions on Software Engineering, April 1995, Vol. 21, No. 4, pp. 288-301.

EXAMINER	/Wilbert L. Starks, Jr./	DATE CONSIDERED
		09/29/2007

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U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		PATENT NUMBER	ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
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FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS							
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	D.M						
	D.N						
	D.O						
	D.P						
	D.Q						

OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)						
/WS/	D.R	Glenn R. Stearns, "Agents and the HP NewWave Application Program Interface", <i>Hewlett-Packard Journal</i> , August 1989, pp. 32-37.				
/WS/	D.S	T.J. Grant, "A review of Multi-Agent Systems techniques, with application to Columbus User Support Organisation", <i>Future Generation Computer Systems</i> , May 1992, Volume 7, Number 4, pp. 413-437.				
/WS/	D.T	Mufit Ozden, "Intelligent Objects in Simulation", <i>ORSA Journal on Computing</i> , Fall 1994, Vol. 6, No. 4, pp. 329-341.				
EXAMINER			DATE CONSIDERED		09/29/2007	
/Wilbert L. Starks, Jr./						

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## U.S. PATENT DOCUMENTS

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	E.J						
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## FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS

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	E.L						
	E.M						
	E.N						
	E.O						
	E.P						
	E.Q						

## OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)

/WS/	E.R	Peter Gibbons et al., "Intelligent Agents in Multi-Media Systems", <u>Sharp Technical Journal</u> , December 1994, Volume 60, pp. 11-14.
/WS/	E.S	Cristiano Castelfranchi, "Guarantees for Autonomy in Cognitive Agent Architecture", <u>Proceedings of ECAI-94 Workshop on Agent Theories, Architectures, and Languages</u> , Amsterdam, The Netherlands, August 8-9, 1994, pp. 56-70.
/WS/	E.T	Devindra Weerasooriya et al., "Design of a Concurrent Agent-Oriented Language", <u>Proceedings of ECAI-94 Workshop on Agent Theories, Architectures, and Languages</u> , Amsterdam, The Netherlands, August 8-9, 1994, pp. 386-401.

EXAMINER  /Wilbert L. Starks, Jr./	DATE CONSIDERED  09/29/2007
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		INFORMATION DISCLOSURE STATEMENT BY APPLICANT		APPLICANT Joseph Phillip Bigus et al.	
(37 CFR 1.98(b))		(Use several sheets if necessary)		FILING DATE June 19, 1998	GROUP 2762

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		PATENT NUMBER	ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
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	F.J						
	F.K						

## FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS

		DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION (YES/NO)
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